

WE CLAIM

1. A method for tracking compliance by a company to a set of regulatory requirements, said method comprising:

defining a set of company records relating to said company and storing said set of company records in a database;

defining a set of questions related to requirements found in said set of regulatory requirements and storing said set of questions in said database;

defining a set of default answers related to said set of questions and storing said set of default answers in said database;

10 assigning said set of questions for answering by a user at said company;
receiving answers from said user to said set of questions and storing said answers in said database;
upon request, conducting an evaluation of compliance by said company to said set of regulations by

accessing said database and extracting said answers, said set of questions and said set of default answers therefrom; and

evaluating said answers against said default answers and determining therefrom a compliance level of said answers to said set of regulatory requirements;

and

20 generating a report of regulatory compliance providing said compliance level.

2. The method for tracking compliance by a company to a set of regulatory requirements as claimed in claim 1, wherein

said compliance level is selected from one of the following levels:

incomplete compliance if said answers do not contain answers for all questions in said set of questions;

full compliance if said answers are complete and said answers match requirements of said default answers; and

non-compliance if said answers are complete and said answers do not match requirements of said default answers.

3. The method for tracking compliance by a company to a set of regulatory requirements as claimed in claim 2, wherein assigning said set of questions for answering by said user at said
10 company is performed by associating a title with said user and associating said title with said set of questions.

4. The method for tracking compliance by a company to a set of regulatory requirements as claimed in claim 3, wherein

said method further comprises

defining a set of control document records relating to said set of regulatory requirements, said set of control document records providing text extracted from said set of regulatory requirements and storing said set of control document records in said database;

and

20 said report further comprises a first link to said set of questions and a second link to said set of control document records.

5. The method for tracking compliance by a company to a set of regulatory requirements as claimed in claim 4, wherein said method further comprises

tracking any changes made to said compliance level; and

upon request, producing an audit report identifying said any changes made to said compliance level.

6. The method for tracking compliance by a company to a set of regulatory requirements as claimed in claim 5, wherein

said set of company records comprise a hierarchical arrangement of records;

said set of questions comprise a hierarchical arrangement of records containing said set of

10 default answers; and

said set of control document records comprise a hierarchical arrangement of records and

further contain a link to said set of questions and a link to said set of company records.

7. The method for tracking compliance by a company to a set of regulatory requirements as claimed in claim 6, said method further comprising

upon request, producing a calendar of events for a timeframe associated with said set of regulatory requirements by

accessing said database and extracting events from said database which are

associated with said set of regulatory requirements for said timeframe; and

generating a calendar report of said events from said database.

20 8. A system for tracking compliance of a company of a plurality of companies against a regulatory requirement, said system comprising:

a database containing records including

a company record for said company;

other company records for other companies in said plurality of companies;

a set of question records related to said regulatory requirement, said set of question records including a set of questions and a set of default answers related to an aspect of said regulatory requirement;

a user record for a user of said system associated with said company; and

other user records for other users associated with said other companies;

a module for entering administrative data relating to said company and storing said

10 administrative data in said database in said company record;

a module for entering user data relating to said user and storing said user data in said user record;

a module for accessing said database and for determining a set of relevant questions for said user utilising said user record and said company record;

a module for providing said set of questions to said user, for accepting answers to said set of questions and for storing said answers in said database;

a module for evaluating compliance by said company to said aspect of said regulatory requirement by accessing said database, extracting said answers and said set of default answers, evaluating said answers against said set of default answers and determining

20 therefrom a compliance level of said answers to said aspect of said regulatory requirement; and

a module for generating a report of regulatory compliance providing said compliance level.

9. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 8, wherein

said module for evaluating compliance determines said compliance level from a selection from one of the following levels:

unassigned compliance if said user has not been entered into said system;

incomplete compliance if said answers do not contain answers for all questions in said set of questions;

full compliance if said answers are complete and said answers match requirements of said default answers; and

10 non-compliance if said answers are complete and said answers do not match requirements of said default answers.

10. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 9, wherein

said database further comprises

a set of control document records relating to said regulatory requirement, said set of control document records providing text extracted from said regulatory requirement;

and

said module for generating a report further produces a first link to said set of questions

20 and a second link to said set of control document records.

11. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 10, wherein said system further comprises a module for tracking any changes made to said compliance level and producing an audit report identifying said any changes made to said compliance level.

12. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 11, wherein

said system further comprises a module to produce a calendar of events for a timeframe associated with said regulatory requirement by

accessing said database and extracting events from said database which are

10 associated with said regulatory requirement for said timeframe; and

generating a calendar report of said events from said database.

13. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 12, wherein a super user has access to said system and said system is responsive to requests from said super user to generate said report.

14. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 13, wherein said system generates a report for said super user indicating a list of questions assigned to said user.

15. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 14 wherein

20 said module for entering user data relating to said user further associates a title with said user; and

said module for providing said set of questions to said user utilises said title to identify said set of questions for said user.

16. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 15, wherein said system generates a second report for said super user indicating a list of questions assigned to said user.

17. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 16 wherein said user accesses said system through a web-enabled computer and said super user accesses said system through a second web-enabled computer.

10 18. The system for tracking compliance of a company of a plurality of companies against a regulatory requirement as claimed in claim 17 wherein said regulatory requirement relates to a requirement for a stock exchange.